

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

PATENT

2661  
#4

In Re Application of:

Penfield, et al.

Serial No.: 10/000,409

Filed: November 2, 2001

For: SYSTEM AND METHOD FOR IMPROVING  
COMMUNICATION BETWEEN A SWITCHED NETWORK AND A PACKET



Group Art Unit: 2661

Examiner: To Be Assigned

Docket No.: 050115-1090

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INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

This information disclosure statement is filed in accordance with 37 C.F.R. §§ 1.56, 1.97, and 1.98, and specifically:

- ☒ under 37 CFR 1.97(b), or  
(within Three months of filing national application; or date of entry of international application; or before  
mailing date of first office action on the merits; whichever occurs last)
- ☐ under 37 CFR 1.97(c) together with either a:  
☐ Statement Under 37 C.F.R. 1.97(e), or  
☐ a \$180.00 fee under 37 CFR 1.17(p), or  
(After the CFR 1.97(b) time period, but before the final office action or notice of allowance, whichever  
occurs first)
- ☐ under 37 CFR 1.97(d) together with a:  
☐ Statement under 37 CFR 1.97(e), and  
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issue fee)

Enclosed is a check in the amount of \$\_\_\_\_\_. Please charge \$\_\_\_\_\_ to deposit account \_\_\_\_\_. At any time during the  
pendency of this application, please charge any fees required to Deposit Account 20-0778 pursuant to 37 CFR 1.25. The  
Commissioner is hereby requested to credit any overpayment to Deposit Account No. 20-0778.

☒ Applicant(s) submit herewith *Form PTO 1449 - Information Disclosure Citation* together with copies of  
patents, publications or other information of which applicant(s) are aware, which applicant(s) believe(s) may or may not  
be material to the examination of this application and for which there may be a duty to disclose in accordance with 37  
CFR 1.56. As required by 37 C.F.R. §1.98(a), a legible copy of each document is provided.

☐ A concise explanation of the relevance of foreign language patents, foreign language publications and  
other foreign language information listed on PTO Form 1449, as presently understood by the individual(s) designated in  
37 CFR 1.56(c) most knowledgeable about the content is given on the attached sheet, or where a foreign language patent  
is cited in a search report or other action by a foreign patent office in a counterpart foreign application, an English  
language version of the search report or action which indicates the degree of relevance found by the foreign office is listed  
on the form PTO 1449 and is enclosed herewith.

The following rights are reserved by the Applicant(s): the right to establish the patentability of the claimed invention  
over any of the listed documents should they be applied as reference, and/or the right to prove that some of these documents  
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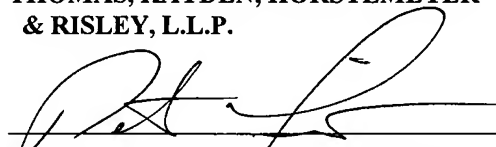
This statement should not be construed as a representation that an exhaustive search has been made, or that information more material to the examination of the present application does not exist. The Examiner is specifically requested not to rely solely on the materials submitted herewith. The Examiner is requested to conduct an independent and thorough review of the documents, and to form independent opinions as to their significance.

It is requested that the information disclosed herein be made of record in this application and that the Examiner initial and return a copy of the enclosed PTO-1449 to indicate the documents have been considered.

Respectfully Submitted,

**THOMAS, KAYDEN, HORSTEMEYER  
& RISLEY, L.L.P.**

By:


  
**Peter A. Nieves, Reg. No. 48,173**

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## U.S. PATENT DOCUMENTS

Examiner Initials	Item	Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
	A	Schulzrinne <i>et al.</i> , "RTP: A Transport Protocol for Real-Time Applications," Network Working Group, January 1996, pp. 1-66.					
	B	Swale <i>et al.</i> , "Requirements for the MIDCOM Architecture and Control Language," MIDCOM Working Group, Internet Draft, February 2001, p. 1-24.					
	C	Srisuresh <i>et al.</i> , "Middlebox Communication Architecture and Framework," Network Working Group, Internet Draft, February 2001, pp. 1-37.					
	D	Martin <i>et al.</i> , "SIP Through NAT Enabled Firewall Call Flows," Midcom Working Group, Internet Draft, February 2001, pp. 1-63.					
	E	Rosenberg <i>et al.</i> , "Getting SIP through Firewalls and NATs," Internet Engineering Task Force, Internet Draft, February 22, 2000, pp. 1-57.					
	F	Eliot Lear, "A Middle Box Achitectural Framework," Network Working Group, Internet Draft, January 31, 2001, pp. 1-12.					
	G	Rosenberg <i>et al.</i> , "SIP Traversal through Residential and Enterprise NATs and Firewalls," Internet Engineering Task Force, Internet Draft, March 2, 2001, pp. 1-41.					
	H	Carpenter <i>et al.</i> , "Middleboxes: Taxonomy and Issues," The Internet Society, Internet Engineering Task Force, Internet Draft, April 2001, pp. 1-24.					
	I	B. Biggs, "A SIP Application Level Gateway for Network Address Translation," Internet Draft, March 2000, pp. 1-16.					
	J	Kuthan <i>et al.</i> , "Middlebox Communication: Framework and Requirements," Internet Engineering Task Force, Internet Draft, November 2000, pp. 1-23.					
	K	P. Srisuresh, "Framework for Interfacing with Network Address Translator," NAT Working Group, Internet Draft, April 2000, pp. 1-58.					

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	L	Mart <i>et al.</i> , "Firewall Control Requirements," MidCom Bof, Internet Draft, November 2000, pp. 1-16.					
	M	Melinda Shore, "H.323 and Firewalls: Problem Statement and Solution Framework," Internet Draft, February 3, 2000, pp. 1-19.					
	N	Therelius <i>et al.</i> , "SIP Firewall Solution," SIP Working Group, Internet Draft, July 2000, pp. 1-32.					
	O	N. Freed, "Behavior of and Requirements for Internet Firewalls," Network Working Group, Internet Draft, October 2000, 1-14.					
	P	D. Newman, "Benchmarking Terminology for Firewall Performance," Network Working Group, The Internet Society, August 1999, pp. 1-51.					
	Q	F. Finlayson, "IP Multicast and Firewalls," Network Working Group, The Internet Society, May 1999, pp. 1-23.					
	R	S. Bellovin, "Firewall-Friendly FTP," Network Working Group, February 1994, pp. 1-7.					
	S	Montenegro <i>et al.</i> , "Sun's SKIP Firewall Traversal for Mobile IP," Network Working Group, The Internet Society, June 1998, pp. 1-45.					
	T	Gaynor <i>et al.</i> , "Firewall Enhancement Protocol (FEP)," Network Working Group, The Internet Society, April 1, 2001, pp. 1-22.					
	U	Dr. Andrew Molitor, "A Firewall Solution for Voice Over IP," Aravox Report, Aravox Technologies, pp. 1-2.					
	V	"Aravox Firewall Benefits," Aravox Technologies, pp. 1-9.					

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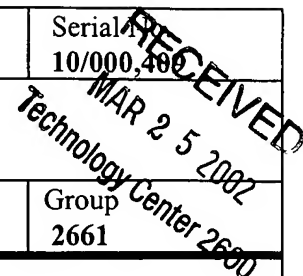
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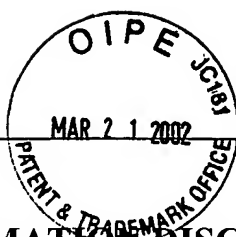
Examiner Initials	Item	Document Number	Date	Name	Class	Subclass	Filing Date If Appropriate
	W	Dr. Andrew Molitor, "Can Voice Over IP Work Without Dynamic NAT?," Aravox Report, Aravox Technologies, pp. 1-2.					
	X	Dr. Andrew Molitor, "Deploying a Dynamic Voice over IP Firewall with IP Telephony Applications," Aravox Report, Aravox Technologies, pp. 1-5.					
	Y	Dr. Andrew Molitor, "Firewall Control for IP Telephony," Aravox Report, Aravox Technologies, pp. 1-5.					
	Z	Molitor <i>et al.</i> , "High Performance H.323 Firewalling for VoIP Solutions," Aravox Report, Aravox Technologies, pp. 1-2.					
	AA	"What is Unique about IP Telephony?," Aravox Technologies, Spring 2001 IT Expo, pp. 1-16.					
	AB	Dr. Andrew Molitor, "Securing VoIP Networks with Specific Techniques, Comprehensive Policies and VoIP-Capable Firewalls," Aravox Report, Aravox Technologies, pp. 1-3.					
	AC	Utz Roedig, "Security Analysis of IP-Telephony Scenarios," Presentation by Darmstadt University of Technology, pp. 1-28.					
	AD	Fredrik Thernelius, "SIP, NAT, and Firewalls," Master Thesis, Ericsson, May 2000, pp. 1-69.					
	AE	Steven M. Bellovin, "Distributed Firewalls" ;login: Magazine, Nov. 1999, pp. 37-39 (1-10).					
	AF	"Firewall ActiveX Control for Microsoft Windows," Distinct Corporation, 1998, pp. 1-45.					
	AG	Jiri Kuthan, "Firewall Control," Flow Processing Control Protocol, p. 1-3.					

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	AH	Alan Crosswell, "Advanced Networking Information," Columbia University Academic Information Systems, March 21, 2000, pp. 1-22.					
	AI	"Cisco Secure PIX Firewall Software v5.2," Cisco Data Sheet, pp. 1-7.					
	AJ	"Cisco Secure PIX 500 Firewalls," Cisco Products & Technologies, 2000, pp. 1-3.					
	AK	"Cisco Secure PIX Firewall," Internet Product Watch, April 12, 2001, pp. 1-2.					
	AL	"Media Firewall," www.marconi.com, 2000, pp. 1-4.					
	AM	"Media Firewall," www.marconi.com, 2001, pp. 1-3.					
	AN	"ATM Switch Network Modules: LAN, WAN, and Service Interfaces for TNX-210, TNX-1100, ASX-200BX, ASX-1000 and ASX-1200 ATM Switches," www.marconi.com, 2000, pp. 1-12.					
	AO	"Marconi's Next Generation IP and Multi-Service Switch Router Enables End-to-End Differentiated Services," www.marconi.com, November 6, 2000, pp. 1-3.					
	AP	"Transforming Communications and Information with Enterprise-Focused Ethernet Solutions," www.marconi.com, pp. 1-6.					
	AQ	"Marconi Expands Networking Product Portfolio with Solutions for Emerging Enterprise Needs," www.marconi.com, July 24, 2000, pp. 1-2.					
	AR	"Marconi to Showcase 'Smart and Fast' Switch/Router at CeBIT," www.marconi.com, January 22, 2001, pp. 1-2.					

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	AS	"Marconi Demonstrates Converged Distance-Learning Solutions at Educause 2000," www.marconi.com, October 10, 2000, pp. 1-2.					
	AT	"Firewall Security," www.marconi.com, October 30, 2000, pp. 1-2.					
	AU	"SA-400, IP/ATM Firewalling for ATM Networks," www.marconi.com, 2000, pp. 1-2.					
	AV	"Media Firewall," www.marconi.com, 2001, pp. 1-3.					
	AW	"NSX-9500, Routing, LANE, and Firewalling Services for ATM Backbone Networks," www.marconi.com, 2000, pp. 1-4					
	AX	"The New Public Network: Scalable, Flexible, PSTN Features, IN Features, Signalling Gateway," www.marconi.com, 1999, pp. 1-4.					
	AY	"Spherically Voice Internetworking Multiplexer (VIM) Product Overview," www.marconi.com, 2001, p. 1.					
	AZ	"ServiceOn Accountant 2.0: Per-call Usage Based Billing for Differentiated Services," www.marconi.com, December 12, 2000, pp. 1-2					
	BA	"Marconi Extends Optical Networking; Introduces Advanced Multiservice Platform," www.marconi.com, June 6, 2000, pp. 1-2.					
	BB	"ATM Switched Network Modules Product Overview," www.marconi.com, 2001, pp. 1-4.					
	BC	"Security is the Key," Marconi Interface, May 2000, p. 30.					

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	BD	"Firewall Switching Agent," www.marconi.com, 2001, pp. 1-4.					
	BE	"ESX-2400 and ESX-4800 Firewall Acceleration Switches," www.marconi.com, 2001, pp. 1-8.					
	BF	"ESX-2400 and ESX-4800 Product Overview," www.marconi.com, 2001, pp. 1-3.					
	BG	"FSA Product Overview," www.marconi.com, 2001, pp. 1-2.					
	BH	Parthenios, "Hackers Beware," Telephony, June 18, 2001, pp. 1-2.					
	BI	"Aravox Expands IP Platform to Include VoIP," CommWeb.com, May 30, 2001, p. 1.					
	BJ	"Aravox Expands IP Network Services Platform to Carriers and xSP's Deploying VoIP," biz.yahoo.com., May 29, pp. 1-2.					
	BK	"Aravox Expands IP Network Services Platform to Carriers and Service Providers Deploying VoIP," TMCnet.com, May 29, 2001, pp. 1-2.					
	BM	"Solutions," www.aravox.com/solutions, 2001, p. 1					
	BN	"The Aravox Network Services Platform Solution for Backbone Carriers," www.aravox.com/backbone, 2001, p. 1.					
	BO	"The Aravox Network Services Platform Solution for Access Providers," www.aravox.com/access, 2001, p. 1.					

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	BP	"The Aravox Network Services Platform Solution for Enterprises," www.aravox.com/enterprise, 2001, p. 1.					
	BQ	"SIP ALG for Firewall Traversal (Application Level Gateway)," www.microappliances.com, 2000, p. 1.					
	BR	"SIP Firewall/Outbound Proxy Server (ALG)," www.microappliances.com, 2000, p. 1.					
	BS	"Microappliances SIP Phone (ActiveX)," www.microappliances.com, 2000, p. 1.					
	BT	"Convergence Data and Telephony Platform," www.microappliances.com, 2000, p. 1.					
	BU						
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